REQUEST FOR APPLICATION # TCS-02-100

SPECIAL POPULATIONS TOBACCO USE STUDIES

FEBRUARY 11, 2002

CALIFORNIA DEPARTMENT OF HEALTH SERVICES (DHS)
TOBACCO CONTROL SECTION (TCS)
P.O. Box 942732, MS #555
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(916) 327-5425
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DEPARTMENT OF HEALTH SERVICES
714/744 P STREET
P.O. BOX 942732
SACRAMENTO, CA 94234-7320
(916) 327-5425

February 11, 2002

TO: Prospective Applicants

SUBJECT: REQUEST FOR APPLICATION (RFA) # TCS-02-100

Attached is RFA # TCS-02-100 entitled **"Special Populations Tobacco Use Studies."** The DHS/TCS is making this funding opportunity available due to additional funds appropriated through the Tobacco Settlement Fund in Fiscal Years 2001-02 and 2002-03.

The RFA specifies eligibility, submission requirements, and tentative timelines. This is an open competitive process. Please read the RFA carefully and follow all instructions in preparing your application. **Applications are due in the California Department of Health Services, Tobacco Control Section (CDHS/TCS) office no later than 5 p.m., on Friday, March 29, 2002.**

The complete RFA and all required forms are also available on the CDHS/TCS website: http://www.dhs.ca.gov/tobacco. In addition, the Policy Section of the *CDHS/TCS Competitive Grantees Administrative and Policy Manual* is available on the website to assist potential applicants.

If your organization is eligible and interested in applying for funds, it would be beneficial to attend the scheduled Information Meeting. Please bring a copy of the RFA with you to the meeting. Answers to questions about the RFA will only be provided at this meeting. Phone calls for programmatic technical assistance in preparing the application **will not** be accepted.

INFORMATION MEETING:

Friday ~~Thursday~~, February 22, 2002
10 a.m. – 12 noon
Continental Plaza Auditorium
601 North 7th Street
Sacramento, CA 95814

If anyone attending the Information Meeting requires special accommodations for the hearing impaired, please call Ken O'Nell, Program Administrator, Data Analysis and Evaluation Unit, TCS, at (916) 324-3919, by February 15, 2002.

Sincerely,

Dileep G. Bal, M.D., Chief
Cancer Control Branch

Enclosure

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I. INTRODUCTION

A. PURPOSE

The purpose of this Request for Application (RFA) is to solicit applications to conduct epidemiological studies that identify adult tobacco use behavior, knowledge and attitudes among special populations in California. For the purpose of this RFA, special populations are defined as: (a) active duty military, (b) gay, lesbian, bisexual and transgender (GLBT), (c) American Indian or Native American, (d) Chinese, (e) Filipino, (f) Vietnamese, (g) Korean, (h) Asian Indian, (i) other Southeast Asian, (j) African American, and (k) Hispanic. All of these are population groups whose detailed tobacco use behavior and attitude information may not have been fully addressed by existing surveys due to limitations of sample size and/or survey methodology issues. The overall intent of this RFA is to encourage the use of scientific and creative data collection methodologies in fulfillment of the needs of tobacco use prevention efforts among special populations and as a part of a comprehensive evaluation effort of the California Tobacco Control Program (CTCP). These studies will supplement CTCP's existing adult tobacco surveillance activities, including the Behavioral Risk Factor Survey and the California Adult Tobacco Survey (BRFS/CATS) and the California Tobacco Survey (CTS).

It is important to note that it is the responsibility of the applicant to adequately demonstrate that epidemiological information (e.g., smoking prevalence, secondhand smoke exposure, quit rate, etc.), derived from the study is representative of the corresponding **statewide** special population. Successful applicants must be able to take individual culture, language, geographic, and socioeconomic characteristics of the study population into consideration in order to achieve the most representative and valid statewide estimate possible for that population group, given the available funds. Thus, the studies will require expertise in working in culturally sensitive environments.

B. BACKGROUND

In November 1988, California voters approved the Tobacco Tax and Health Protection Act of 1988, also known as Proposition 99 (Prop. 99), which added a 25-cent tax to each pack of cigarettes sold in the state. These additional tobacco taxes were earmarked for health education and promotion, tobacco-related research, and health care.

The enabling legislation for Prop. 99 includes Assembly Bills (AB) 75, 99, and 3487, and Senate Bills (SB) 99, 816, 493, and the annual State Budget. These bills provide legislative authority for programs administered by the California Department of Health Services, Tobacco Control Section (CDHS/TCS) to conduct health education intervention and behavior change programs at the state level, in the community, and in other non-school settings, and to conduct evaluations of the effectiveness of these programs.

Currently, smoking is the leading cause of preventable death and disability. It kills over 42,000 California smokers and 5,000 non-smokers every year, along with hundreds of thousands more suffering from tobacco-related disease and the premature loss of loved ones.

Since the passage of Prop. 99, per capita cigarette consumption in California has declined by more than 50 percent and the adult smoking prevalence has declined by more than 20 percent. However, the adult smoking prevalence has remained essentially flat since 1995 with a rate of approximately 17.1 percent in 2000, as measured by BRFS/CATS.

While California has experienced numerous successes and has had a strong surveillance system as part of the statewide evaluation effort, there is still a lack of representative information on tobacco use behavior and attitudes. These disparities exist within a variety of populations, including military service personnel, gay and lesbian populations, and two of California's major racial/ethnic groups: American Indians and Asians.

It is well established that the tobacco industry continues to specifically target some populations through extensive promotions, advertising and sponsorship campaigns. Once concern is that the close association of tobacco with significant events and rituals in many ethnic communities and the tobacco industry's long history of providing economic support to some special groups may be undermining tobacco prevention and control efforts. To improve program efforts to counter the influence of the tobacco industry and to promote the change of social norms of tobacco use, it is especially important to understand tobacco use behavior, knowledge and attitudes among these special populations.

Some existing resources have documented the urgent need for tobacco use data among these special populations:

Active Duty Military

- In 2000, a total number of 107,648 military members on active duty were stationed in California.
- Until the mid 1990's, the smoking prevalence among military members had been consistently higher than comparable civilians. Recently, the military/civilian differences have narrowed as shown in the 1995 and the 1998 Department of Defense Survey of Health Related Behaviors. It was reported that 29.9 percent of active duty military members were smokers. The smoking prevalence rate among United States (U.S.) Marine Corps was found to be the highest at 34.9 percent among the four military branches: Army, Navy, Marine Corps, and Air Force.
- There is no existing tobacco use related data for military personnel in California.

Gay, Lesbian, Bisexual, and Transgendered (GLBT)

- Based on the 2000 Census, there were 92,138 gay and lesbian couples (households) in California. The exact size of this population in California has not been reported. Some studies showed that about 50 percent to 60 percent of gay or lesbian individuals do not live with a partner. Taking this into consideration, even excluding the factor of the under-reporting in the Census, it is likely that there are at least 350,000 to 400,000 gay or lesbian individuals in California.
- According to a literature review by CDC researchers, smoking prevalence for GLBT ranged from 11 percent to 50 percent among adults, depending on the survey methodologies. They concluded that smoking rates are higher among gay or lesbian and bisexual adults than in the general population.
- No existing study can provide a representative smoking prevalence for this population, neither nationally nor in California, mainly because of the sampling issue. Without any thorough study, the differences in smoking behavior and attitudes for this population will remain unclear, which leaves the program without information that could help in designing prevention and cessation activities for this group.

American Indian

- California has one of the largest American Indian populations in the country. Based on the 2000 Census, more than 330,000 American Indians live in California, representing about 1 percent of the total population.
- According to the 1999 CTS, the smoking prevalence among American Indians in California is 25.4 percent, which is higher than other ethnic groups.
- Although the sample size of American Indians in the CTS is large enough to get prevalence within a narrow confidence interval, concerns regarding the representativeness of the sample have not been fully addressed. Analysis showed that the sample distribution in the CTS was skewed toward urban areas when compared to the population distribution in the 2000 Census. This is possibly due to the limitations of the list-assisted telephone survey used by the CTS. American Indians in rural areas are believed to have more traditional tobacco use than in more acculturated urban areas. To understand tobacco use among American Indians in California, a study with a balanced sample and questions tailored to address the cultural sensitivities of American Indian tobacco use practices should be undertaken.

Asians

- Based on the 2000 Census, there are over 4 million Asians in California, representing 12.3 percent of the State's total population. Chinese and Filipino are the largest subgroups, with populations of around 980,000 and 920,000, respectively.
- Results from both BRFS/CATS and CTS showed that Asian American adults have had consistently lower smoking prevalence rates than other racial groups.

The prevalence rate for Asians in the 2000 BRFS/CATS was 14.2 percent. The smoking prevalence was 18.3 percent for males and 12.4 percent for females.

- Most Asians in California live in their own culturally homogeneous communities. The existing tobacco surveys that use Random Digit Dialing (RDD), or list-assisted RDD may not include enough samples from these communities.
- Even in the 1999 CTS, which did not specifically target any Asian communities and was not conducted in any Asian language, more than 47 percent of the Asian respondents who completed the survey in English reported that they spoke their native languages in the household. This suggests that a large proportion of the Asians in California use their native languages for daily communication, at least at home.
- Although the CTS a has satisfactory sample size for some Asian subgroups, it is believed that smoking prevalence may be under-estimated in some groups such as Chinese, Filipino, Vietnamese and Korean. Some researchers showed that male smoking prevalence in the country of origin for some of these Asian sub-populations could be as high as 75 percent. Considering that more than half of the Asians is first generation immigrants, it is plausible that the actual smoking prevalence rates among Asians are higher than the current estimates. Because most of the first generation immigrants mainly use their native language for communication, the existing tobacco surveys conducted only in English and Spanish may lose a proportion of these populations. As a result, the smoking prevalence for some Asians in California may be under-estimated. In addition, even among the English-speaking respondents, the lack of English proficiency may also result in the estimate errors.
- The Asian American group is also a culturally heterogeneous population. Understanding the differences in tobacco use behavior and attitudes about tobacco among the different Asian sub-populations is the key to successful smoking prevention programs targeted to these populations.

Taking the above characteristics into consideration, the following Asian subgroups are considered as special populations for this RFA:

Chinese

- Nearly 1 million Chinese live in California according to the 2000 Census, representing 2.9 percent of the total California population.
- Only 11.1 percent of Chinese adults in California were reported as current smokers in the 1999 CTS. Smoking prevalence was 15.7 percent for male Chinese Americans and 6.6 percent for females.
- According to a study published in JAMA, the smoking prevalence among male adults in China was 63 percent. This high prevalence suggests that there may be a high smoking prevalence among first generation immigrants in California.
- One study published in the Journal of Drug Education reported on a survey of Chinese living in San Francisco that showed that these Chinese Americans had a lower smoking prevalence than other groups. However, no statewide survey in

Chinese native languages (Mandarin and Cantonese) has been conducted thus far.

Filipino

- Filipino is the second largest Asian subpopulation living in California according to the 2000 Census, representing 2.7 percent of the total California population.
- About 12.8 percent of Filipino adults were reported as current smokers in the 1999 CTS.
- According to the results from a national nutrition survey conducted in 1999, the smoking prevalence in the Philippines was 75 percent for male adults and 18 percent for female adults.
- No statewide survey in Filipino native languages (Tagalog and/or Others) has been conducted thus far.

Vietnamese

- The 2000 Census showed that more than 447,000 Vietnamese live in California, representing 1.3 percent of the total California population.
- A study in JAMA showed that smoking prevalence among male adults was 72.8 percent in Vietnam.
- No smoking prevalence estimate is available from an existing statewide tobacco survey. According to the 1999 CTS, 16.9 percent of the Vietnamese speaking males and no females in the sample were current smokers. However, a study conducted at about the same time by Jenkins and his colleagues revealed that male smoking prevalence among Vietnamese refugees in California was 56 percent. The same group of researchers reported that male smoking prevalence among Vietnamese speaking immigrants in Northern California was 39.1 percent. These discrepancies suggest that the Vietnamese are under-represented in a statewide random sample and that there is a need for a reliable estimate for this population.

Korean

- The 2000 Census showed nearly 346,000 Koreans, or 1 percent of the total population, living in California.
- According to a survey conducted by Korean Gallup for the Korean Association of Smoking and Health, the male adult smoking prevalence in Korea was 64.8 percent.
- The 1999 CTS showed that 32.5 percent of male Korean American adults and 13.3 percent of female Korean American adults were current smokers. In a bilingual health study conducted in Alameda County Korean communities in 1997, 34.4 percent of male Korean American adults and 5.8 percent of female Korean American adults were current smokers. However, all prevalence estimates mentioned above were derived from relatively small sample sizes, which resulted in wide confidence intervals.

Asian Indian

- According to the 2000 Census, about 315,000 Asian Indians live in California, representing 0.9 percent of the total population. It is one of the fastest-growing subpopulations in California, almost doubling from 1990 to 2000.
- The national smoking prevalence of India is not available. It was reported in an article in BMJ that the current smoking prevalence in Delhi, India was 45 percent among male adults and 7 percent among female adults.
- A study using the 1992-1994 National Health Interview Survey showed that the age-adjusted smoking prevalence among Asian Indian Americans was 8.7 percent. There are no statewide prevalence estimates for California thus far.

Other Southeast Asian

- "Other Southeast Asians" is defined for the purpose of this RFA as a separate group comprised Asians whose country of origin is Thailand, Cambodia, or Laos.
- Little is known of smoking behavior in those countries due to the lack of quality surveys. Some existing data showed high male smoking prevalence, ranging from 40 percent to 70 percent, and low female smoking prevalence.
- No existing tobacco use related data is available for these sub-populations in California. Information on tobacco use behavior and attitudes among these groups will be useful in designing and implementing interventions for these communities. For example, adult smoking prevalence was 40 percent for men and 10 percent for women in Bangladesh. However, another report showed that 92 percent of first generation Bangladeshi immigrant women said they chewed tobacco in a study conducted in the city of Leeds and Bradford, England. It is important to know if the same pattern can be found among other Southeast Asian immigrants in California so that focused interventions can be delivered to this population.

African American

- According to the 2000 Census, about 2.3 million African Americans live in California, representing 6.7 percent of the total population.
- The smoking prevalence rate of African American was 20.2 percent based on the estimate of 1999 CTS, which has a sample size of 5,240 African American adults.

Hispanic

- Hispanics are the second largest race/ethnicity group in California. According to the 2000 Census, 32.4 percent of the total California population, or about 11 million people have Hispanic or Latino backgrounds.
- According to the 1999 CTS, which was conducted both in Spanish and English, the smoking prevalence rate of Hispanics was 14.6 percent based on a sample of 22,356 Hispanic adults.

About CTS and BRFS/CATS

CTS

The CTS (1990, 1992-1993, 1996, 1999), funded by the Tobacco Control Section of the CDHS, were conducted by the Cancer Prevention and Control Program of the University of California, San Diego. The California Tobacco Survey is a very large-scale telephone survey that includes a screener survey, an adult extended survey and a youth survey. For additional information, refer to the CTS website: http://ssdc.ucsd.edu/tobacco.

BRFS/CATS

The BRFS (1984-present) and the CATS (1993-present) are random digit-dial telephone surveys of 8,000 adults annually, conducted by the Computer Assisted Telephone Interviewing (CATI) Unit of the Cancer Surveillance Section of the CDHS. Data have been weighted to the 1990 California population using gender, 4 race and 2 age groups. For additional information, refer to the Evaluation Resources section on CDHS/TCS website: http://www.dhs.ca.gov/tobacco.

II. GENERAL GRANT APPLICATION INFORMATION

A. WHO MAY APPLY

1. Any public or private corporation or provide non-profit organizationthat meets the following criteria is eligible to respond to the RFA:

   a. Demonstrated capabilities in data collection, data management, quality control procedures, and in providing quality products that pass scientific scrutiny.

   b. Demonstrated experience in conducting population research studies.

   c. Demonstrated knowledge of and prior experience with the study population.

2. For applicants claiming private non-profit status, either certification from the State of California, Office of Secretary of State or a letter from the U. S. Department of the Treasury, Internal Revenue Service, classifying the applicant's possessive administrating agency as a private non-profit must be included with the submission of an application.

3. Any agency, with the exception of universities and colleges, that receives funding from, or has affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the contract, is not eligible for funding under this RFA. Agency certification to this effect is required on Attachment 1. See Appendix A for a partial list of tobacco subsidiaries.

   With regard to universities and colleges, any Principal Investigator who within the last five years from the start date of the contract period, or during the term of the contract, receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, is not eligible for funding under this RFA. The Principal Investigator's certification to this effect is required on Attachment 1. See Appendix A for a partial list of tobacco company subsidiaries.

B. GRANT PERIOD AND FUNDING LEVELS

1. Approximately $3 million is expected to be available for this RFA from the fiscal year (FY) 2001-2002 State Budget appropriation from the State Tobacco Settlement Fund for the tobacco control programs administered by CDHS.

2. Grant awards will be for a 24-month period beginning July 1, 2002 and ending June 30, 2004. **Applications must be for the entire 24-month period.** CDHS/TCS will have the option of renewing the grant for an additional study if funds are available and the contractor has performed to the satisfaction of CDHS/TCS.

3. CDHS/TCS reserves the right to fund any or none of the applications submitted in response to this RFA. CDHS/TCS may also waive any immaterial deviation in any application. The CDHS/TCS waiver of any immaterial defect(s) shall not excuse an application from full compliance with the contract terms if a contract is awarded.

4. CDHS/TCS reserves the right to negotiate the Scope of Work (SOW) and Budget of any proposed projects or proposed project components.

5. Expenses associated with preparing and submitting an application are solely the responsibility of the applicant agency and will not be reimbursed by CDHS/TCS.

C. RFA INFORMATION MEETING

An information meeting is scheduled for **February 22, 2002, from 10 a.m.-12 noon** at the location listed below. The RFA will be reviewed and questions will be answered at this meeting.

February 22, 2002
Continental Plaza
Continental Plaza Auditorium
601 North 7th Street
Sacramento, CA 95814

NOTE: All attendees must check-in at the security station at 601 N. 7th Street.

All costs incurred by individuals attending the informational meeting are the sole responsibility of these individuals or their agencies and will not be reimbursed by CDHS/TCS.

D. APPLICATION SUBMISSION REQUIREMENTS

By submitting an application, all applicants agree that CDHS/TCS is authorized to verify any and all claimed information provided in the application. All applications received by CDHS/TCS are subject to the provisions of the "California Public Records Act" (Government Code Section 6250 et seq.) and are not considered confidential after completion of the selection process.

1. Letter of Intent

For the purpose of planning the review process, all prospective applicants are asked to submit a letter notifying CDHS/TCS of the intent to submit an application. **One (1) signed letter of intent for each application must be received by CDHS/TCS by 5 p.m., Friday, February 28, 2002.** Submit a letter of intent on the applicant's letterhead and state the following: the name and number of the RFA under which the application will be submitted, the special population of the study and the estimated budget amount. E-mail documents will not be accepted. Mail or fax the letter of intent to:

Ken O'Nell
Tobacco Control Section
California Department of Health Services
P.O. Box 942732, MS #555
Sacramento, CA 94234-7320
FAX Number: (916) 327-5424

Clearly indicate **"Special Populations Tobacco Use Studies RFA #TCS-02-100"** on the outside of the mailing envelope or on the FAX transmittal sheet.

2. **Application**

Submit one signed original (clearly marked "original") plus five (5) copies of the entire application. It is the sole responsibility of the applicant to ensure that CDHS/TCS receives the required number of copies of the application by the above deadline. Clearly indicate **"Special Populations Tobacco Use Studies RFA # TCS-02-100"** on the outside of the mailing envelope. **Applications must be received by 5 p.m., Friday, March 29, 2002, at CDHS/TCS.**

- FAX and E-mail documents will not be accepted. No exceptions will be made.
- A late or an incomplete application will be considered non-responsive and will not be reviewed for funding.
- No changes, modifications, corrections, or additions may be made to the application once it is received. No exceptions will be made.
- Postmarks will not be accepted as proof of timely delivery.

Deliver completed applications to CDHS/TCS:

U.S. Postal Service (USPS) Delivery Address: If you submit an application through the USPS, either regular or priority mail, send the package to the following address: **(Private shipping companies DO NOT deliver to this address)**

Diane Hightree
Tobacco Control Section
California Department of Health Services
P.O. Box 942732, MS #555
Sacramento, CA 94234-7320

"Special Populations Tobacco Use Studies"
RFA # TCS-02-100

Hand Delivery or Private Shipping Company Address: If you deliver in person or submit an application using a private shipping company (e.g., UPS or FedEx) use the street address below. **The U.S. Postal Service WILL NOT deliver ANY mail to the street address, including priority mail.**

Tobacco Control Section
ATTN: Diane Hightree
California Department of Health Services
601 North 7th Street, MS #555
Sacramento, CA 95814

"Special Populations Tobacco Use Studies"
RFA # TCS-02-100

For directions, access the CDHS/TCS website at: http://www.dhs.ca.gov/tobacco.

E. APPLICATION REVIEW PROCESS

1. Review for Compliance with Mandatory RFA Requirements

Applications will be date and time stamped upon receipt at CDHS/TCS. Each application received by CDHS/TCS by 5 p.m., on Friday, March 29, 2002, will be reviewed for compliance with the requirements provided in this document.

Note: Applications that do not comply with the requirements will be considered non-responsive and will be excluded from further review. Omission of any required document or form, failure to use required formats for response, or failure to respond to any requirement may lead to rejection of the application prior to the review. CDHS/TCS may waive any immaterial deviation in any application. LATE, INCOMPLETE, OR NON-COMPLIANT APPLICATIONS WILL BE REJECTED.

2. Application Review

Each application that complies with the mandatory requirements will be evaluated and scored by a review committee on a scale of 0 to 170 points. Applications receiving a score of 125 points or more will be considered for funding. However, there is no guarantee that scoring above 125 will result in funding or funding at the level requested. No more than one grant will be awarded for any single special population.

A peer review committee assembled by CDHS/TCS will evaluate proposals. The committee may include representatives of CDHS staff, outside research and evaluation experts, and special population representatives.

The maximum point value of each section is as follows:

Study Abstract	**10 points**
Agency Qualification and Experience	**30 points**
Study Narrative	
Data Collection and Preparation Plan	**50 points**
Analytic Plan	**20 points**
Reports and Deliverables	**10 points**
SOW	**30 points**
Budget and Budget Justification	**20 points**
	170 points

3. **Notification of Decision**

Each applicant, whether selected for funding or denied, will be notified in writing of the funding decision. Applicants may receive, upon written request directed to CDHS/TCS, the consensus review tool summary page for their application, which provides the score and overall strengths and weaknesses of their application.

4. **Contract Negotiation**

Following the award notification, contract negotiations will occur with the potential contractors in a timely manner. CDHS/TCS reserves the right to reject any proposed project(s) or project component(s). Following contract negotiations, the contractor is required to submit the SOW, Budget, and Budget Justification in accordance with CDHS/TCS requirements, which will become part of the formal grant. CDHS/TCS reserves the right to withdraw any award if an acceptable SOW, Budget, Budget Justification, and other CDHS/TCS required forms are not received by CDHS/TCS within 45 calendar days of being negotiated by CDHS/TCS and the awardee. Upon completion and approval of these documents, the grant will be fully executed and work will commence.

F. APPEALS PROCESS

Only those agencies that submit an application consistent with the requirements of this RFA and are not funded may appeal. There is NO appeal process for applications that are submitted late or are incomplete. Applicants may not appeal their funding level. Letters appealing the final application selection must be received at CDHS/TCS **no later than 5 p.m., on Thursday, May 2, 2002, at the address indicated below.** E-MAIL TRANSMITTED APPEAL DOCUMENTS WILL NOT BE ACCEPTED. Appeals shall be limited to the grounds that CDHS/TCS failed to correctly apply the standards for reviewing your agency's application in accordance with this RFA. The appellant must file a written appeal, which includes the issue(s) in dispute, the legal authority or other basis for the appellant's position, and the remedy sought. Incomplete appeals will be rejected. Appeals must be mailed or faxed to:

Donald O. Lyman, M.D., Chief
Division of Chronic Disease and Injury Control
Department of Health Services
P.O. Box 942732, MS #504
Sacramento, CA 94234-7320
Fax Number: (916) 327-5424

At his sole discretion, the Chief of the Division of Chronic Disease and Injury Control or his designee may hold an appeal hearing with each appellant and then come to a decision, either based on the combination of the written appeal letter and the evidence presented at the hearing, or based on the written appeal letter if no hearing is conducted. The decision of the Chief of the Division of Chronic Disease and Injury Control or his designee shall be final. There is no further administrative appeal. Appellants will be notified of decisions regarding their appeal in writing within fifteen (15) working days of their hearing date or the consideration of the written appeal letter, if no hearing is conducted.

G. **TENTATIVE TIMELINES**

February 11, 2002	Release of RFA
February 22, 2002	Information Meeting in Sacramento 10 a.m. – 12 p.m.
February 28, 2002	**Letters of Intent due no later than 5 p.m.**
March 29, 2002	**Applications due no later than 5 p.m.**
April 18, 2002	Award decisions announced
May 2, 2002	Appeals due no later than 5 p.m.
May 10, 2002	Appeal Hearings
July 1, 2002	Contract period begins
June 30, 2004	Contract period ends

III. ADMINISTRATIVE AND PROGRAM REQUIREMENTS

Agencies applying for funds under this RFA must have the administrative ability to manage state grant funds and the technical expertise to successfully carry out all components of the study. It is the experience of CDHS/TCS that some applicants are unfamiliar with the procedures, requirements, and expectations. Any agency considering applying for funds under this RFA should review the sample boilerplate language required of any contract funded by CDHS/TCS found at the CDHS/TCS web-site: www.dhs.ca.gov/tobacco. The following information is provided in order that the prospective applicants might assess their ability to enter into a binding grant agreement with CDHS/TCS.

1. Grantees (funded agencies) are to expend funds in accordance with the negotiated Line Item Budget. If changes in Line Items, salary ranges, or staffing patterns need to be made, the grantee must request a budget revision or a grant amendment depending on what in the Budget needs to be changed. It is up to the discretion of CDHS/TCS whether or not to approve the requested Budget revision or grant amendment.

2. Grantees are reimbursed in arrears for actual expenses, which means the agency incurs expenses and is then reimbursed by CDHS/TCS. The grantee submits a monthly invoice for expenses incurred in the previous 30 days and then the State has up to 45 days to pay the approved invoice. This means that the grantee must be able to cover at least 45 to 75 days' worth of project expenses prior to reimbursement from the State. Additionally, grantees are to submit invoices to CDHS/TCS in a timely manner to ensure: 1) prompt payment of expenses, and 2) cash flow maintenance.

3. The grantees must be aware that they are legally bound to carry out the study as stated in the a SOW. If changes need to be made, the grantee must contact CDHS/TCS to discuss the issue and request SOW revision or a grant amendment. It is up to the discretion of CDHS/TCS whether or not to approve the request. **If grant deliverables, including progress reports, are not completed satisfactorily, CDHS/TCS has the authority to withhold and/or recover payment of funds.**

4. Grantees are expected to refer to and comply with the Competitive Grantees Administrative and Policy Manual. This manual is referenced in the contract and, as such, is a contract document. The manual will be made available to successful applicants.

5. Grantees are to be knowledgeable of standard payroll practices including State and Federal tax withholding requirements.

6. Grantees are to maintain accounting records that reflect actual expenditures, including, but not limited to: accounting books, ledgers, documents, payroll records,

including signed timesheets, following standard accounting procedures and practices that properly reflect all expenses related to this grant. These records shall be kept and made available for three (3) years from the date of the final grant payment.

7. Grantees are to obtain an annual single organization-wide financial and compliance audit. CDHS/TCS will reimburse the grantee for its proportionate share of the audit expense.

8. Grantees are required to obtain prior approval from CDHS/TCS before they are reimbursed for any purchase order, subcontract, or consultant agreement costing $5,000 or more. Three (3) competitive bids may be required as well as other documentation of the bid process. The proposed subcontract or consultant agreement must be submitted to CDHS/TCS for approval prior to reimbursement of such expenses.

9. Grantees are to be aware that travel and per diem rates must not exceed those amounts paid to State non-represented employees. Refer to Appendix B for travel reimbursement rates. Additionally, out-of-state travel is not reimbursable without prior written approval by CDHS/TCS.

10. Grantees and all subcontractors should be aware that the State shall be the owner of all rights, title, and interest in, but not limited to, the copyright to any and all Works created, produced, or developed under a grant funded from this RFA, whether published or unpublished. Appendix C contains the specific language that will be incorporated into the boilerplate language of the grant funded by CDHS/TCS. If successful in your application, you must comply with the copyright and ownership of materials language. Review Appendix C carefully. Changes to this language will **not** be negotiated at any time during the RFA process nor with the funded applicant.

11. Grantees are to have a procedure designating a person within their agency or organization that may sign payroll time sheets, requisitions, and invoices.

12. Grantees will be required to submit semi-annual progress reports to CDHS/TCS that describe the status of progress made in completing the contracted study, any problems or delays encountered, and how these will affect the study.

13. Grantees are to have adequate personnel to insure timely submission of accurate invoices and maintain the fiscal integrity of the grant.

14. Grantees are expected to hire program and fiscal/administrative staff with the appropriate training and experience to fulfill all grant related deliverables, as well as fulfill payroll, accounting and administrative procedures.

15. Grantees are to be aware that CDHS/TCS may withhold payment of invoices for lack of documented and/or timely progress, as well as any apparent non-compliance with contract requirements.

16. CDHS/TCS may withhold or recover funds for unmet deliverables. At the end of the grant term, CDHS/TCS will determine whether or not the Grantee's deliverables, including progress reports, have been completed satisfactorily and/or in their entirety. The pro-rata portion of the unmet deliverable will be applied toward the overall grant award and may result in either CDHS/TCS withholding funds from the final payment and/or recovering funds from the Grantee.

17. Grantees are to be aware that travel and per diem rates must not exceed those amounts paid to State non-represented employees. Additionally, out-of-state travel is not reimbursable without prior written approval by CDHS/TCS. Refer to Appendix B.

IV. STATEMENT OF WORK

A. GENERAL REQUIREMENTS

1. CDHS/TCS is seeking representative comprehensive adult tobacco use data concerning selected special populations in California, in order to carry out effective tobacco use prevention programs at the state and community levels. Therefore, applicants must propose strategies that take into account, and are sensitive to, an individual culture, language, geographic, and socioeconomic characteristics in surveying for tobacco use and tobacco knowledge and attitude data, which is representative of the statewide special population. For the purpose of this RFA, “adult” is defined as an individual with an age of 18 or older. This RFA will not fund studies that collect tobacco use data among youth.

2. **Due to the surveillance nature of the studies, only the study of statewide special populations will be funded by this RFA. The study of a subgroup of the identified special populations such as a certain age or gender group, or people in a particular region, will not be accepted.**

3. An agency may propose studies to target multiple special populations as defined by this RFA, but **the applicant must submit a separate application for each population group it proposes to study.**

4. No more than one grant will be awarded for any single special population.

5. It is the responsibility of the applicant to demonstrate their agency’s (and their subcontractors’) capabilities to conduct data collection using appropriate survey methodologies.

6. In applications, the term “tobacco” must include both smoking and smokeless tobacco.

7. The comprehensive tobacco use data that is collected must include, but not be limited to, the following areas:

    a. Smoking Behavior: cigarette smoking history, consumption, and other tobacco product use (chew, pipe, and cigar) history.

    b. Cessation Behavior: quit attempt, quit history, quit motivation (self, physician advise, etc.), and cessation help (cessation class, patch, etc.).

    c. Secondhand Smoke (SHS) exposure: workplace (employer policy and exposure), other public place exposure, and household (volunteer policy and exposure).

   d. Attitude and Knowledge: health risk of tobacco use, health risk of SHS, exposure to CTCP components (local programs, media, etc.), attitudes toward tobacco industry, and policies to regulate tobacco marketing.

8. For small size population groups, which have a large portion of first-generation immigrants, bilingual surveys are required.

9. Due to the multi-disciplinary nature of the studies, this RFA encourages cooperation and partnership between organizations and institutes.

10. Only quantitative studies will be funded by this RFA.

11. The estimate of adult smoking prevalence must be based on the definition by the Centers for Disease Control and Prevention (CDC).

12. The sample size must be able to allow a range of ±3 percentage points of 95 percent confidence interval (CI) of smoking prevalence estimate for each specified category within the special population sample.

B. **STUDY NARRATIVE**

1. **Data Collection and Preparation Plan**

a. Type of the Survey

Applications must specify the type of the survey (e.g., in-person, CATI, etc.). Although the type of the survey is not prescribed in this RFA, applicants must provide the rationale for use of the proposed survey type.

b. Survey Instrument

The survey instrument must be created based on the current BRFS/CATS and CTS. The measure of “current smoker” must be based on the CDC definition. The format and the question flow of the survey must be appropriate for the corresponding survey type (e.g., in-person, CATI, etc.). The survey must be focused on tobacco use and tobacco knowledge and attitudes only with necessary demographic and other culturally and historically related information. Each interview should not exceed 30 minutes to administer.

For applications targeted on small minority population groups, appropriate measures must be taken to ensure the accuracy of survey instrument translation.

c. Interview Process

Applicants must describe and explain in detail the interview process, including, but not limited to, the following elements:

- Interviewer recruitment
- Interviewer training
- Interviewer monitoring
- Pilot testing
- Callback or follow-up procedure
- Refusal conversion
- Confidentiality procedures
- Non-response measurement

d. Sampling Plan

Each application must specify the sampling methodology and provide the computation formulas for sample size. For example, sampling effects such as clustering and stratification must be taken into consideration when sample size is computed. The application must adequately address the effectiveness of the sampling plan in terms of obtaining statewide representative estimates. Although over-sampling of a certain subcategory is allowed (e.g., smokers, young adults, etc.), applicants must provide specification on how adjustment will be made for statewide estimates.

Each special population has the following specific sample requirements:

- Active Duty Military: The sample size must be able to allow a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates for each of the four branches of the military: Army, Navy, Marine Corps, and Air Force.

- Gay, Lesbian, Bisexual, and Transgendered: The sample must include both gays and lesbians in California. The sample size must ensure a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates for each gender category.

- American Indian: The sample must include a proportionally appropriate (in accordance with reliable sources such as 2000 Census proportions) number of individuals living in urban and rural areas, including reservations. The sample size must ensure a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates for each category of rural and urban.

- Chinese: The sample must include Chinese Americans who are first generation immigrants and also those who are second, third, or fourth generation. The sample size must ensure a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates in each category after the sample is classified by generation (first generation or higher generation) and also all respondents by gender.

- Filipino: The sample must include Filipino Americans who are first generation immigrants and also those who are second, third, or fourth generation. The sample size must ensure a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates in each category after the sample is classified by generation (first generation or higher generation) and also all respondents by gender.

- Vietnamese: The sample must include Vietnamese Americans who are first generation immigrants and also those who are second, third, or fourth generation. The sample size must ensure a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates in each category after the sample is classified by generation (first generation or higher generation) and also all respondents by gender.

- Korean: The sample must include Korean Americans who are first generation immigrants and also those who are second, third, or fourth generation. The sample size must ensure a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates in each category after the sample is classified by generation (first generation and higher generation) and also all respondents by gender.

- Asian Indian: The sample must include Asian Indian Americans who are first generation immigrants and also those who are second, third, or fourth generation. The sample size must ensure a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates in each category after the sample is classified by generation (first generation or higher generation) and also all respondents by gender.

- Other Southeast Asian Combined: The sample must include Southeast Asians. First generation immigrants and also those who are second, third, or fourth generation must be included. The sample size must ensure a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates in each category after the sample is classified by generation (first generation or higher generation) and also all respondents by gender.

- African American: Currently, TCS uses the BRFS/CATS to determine the annual smoking prevalence rates for African Americans in California and the larger CTS to provide additional, more detailed data for this population group every three years. These surveys are considered to be reliable in providing representative statewide data for African Americans. However, applications focusing on this special population will be accepted as part of this RFA process provided that the applicant demonstrates that the proposed study does not duplicate these continuing surveillance activities and specifies how the proposed sampling will address any identified limitations of these surveys and yield a more representative statewide sample of California's African American population. The sample size must ensure a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates in each category after the sample is classified by age group (18-24, 25-44, 45-64 and 65 or older years old).

- Hispanic: Currently, TCS uses the BRFS/CATS to determine the annual smoking prevalence rates for Hispanics in California and the larger CTS to provide additional, more detailed data for this population group every three years. These surveys are considered to be reliable in providing representative statewide data for Hispanics. However, applicants focusing on this special population will be accepted as part of this RFA process provided that the applicant demonstrates that the proposed study does not duplicate these continuing surveillance activities and specifies how the proposed sampling will address any identified limitations of these surveys and yield a more representative statewide sample of California's Hispanic population. The sample size must ensure a margin of error of no more than 3 percent for a 95 percent confidence interval for the smoking prevalence estimates in each category after the sample is classified by generation (first generation or higher generation) and also all respondents by age group (18-24, 25-44, 45-64 and 65 or older years old).

e. **Data Preparation**

The contractor must provide completed data in ASCII file format (.dat or .txt). If any imputation, adjustment, clustering, or stratification is employed, appropriate imputation variables, weights, cluster variables, and strata must be included in the final data set. A user-friendly technical report on survey methodologies and analytical methods must be developed. The contractor must deliver the data on a CD-ROM, accompanied by the technical report, such that CDHS/TCS can distribute the data to other researchers.

2. **ANALYTIC PLAN**

The application must include an analytic plan that describes and explains how the data collected will be analyzed and interpreted. The applicant must show the appropriate procedures to analyze data under the proposed sampling plan. Answers to critical questions should be included in the analysis. Critical questions that should be addressed include:

- What is the smoking prevalence among the special population sample targeted? If this estimate differs from the existing prevalence (if available) for the special population from surveys such as the CTS, what is the likely explanation? What is the cigarette consumption among the population based on the survey? What is the prevalence of other tobacco product use? Is there any difference in tobacco use behavior including cessation between the special population and the California general population? What is the difference?

- What is the secondhand smoke exposure rate (at workplace, home and other places) among the special population? Is there any difference in secondhand smoke exposure between the special population and the California general population? What is the difference?

- What are the tobacco related knowledge and attitude findings among the special population? Is the special population well exposed to CTCP, including both the community intervention programs and statewide media campaign? Is there any difference in tobacco related knowledge and attitude results between the special population and the California general population? What is the difference?

- Based on the study, what is the biggest disparity in tobacco control indicators between the special population and the California general population? What is the possible explanation of this disparity? What recommendations are suggested for the future of tobacco control programs conducted among this special population?

3. **REPORTS AND DELIVERABLES**

A plan for the development and delivery of products shall be described in the application. It is the intent of CDHS/TCS that the efforts by the contractor will result in products that have maximal utility to users. Therefore, the data collected and the products under this contract will not be proprietary information of the contractor. They will belong to the State for public use. The proposal should describe the plan for preparation of the deliverables, specify the contents, and set a timetable for the deliverables. The detailed information about submitting reports and deliverables can be found in the CDHS/TCS Competitive Grantees Administrative and Policy Manual. The minimum requirements for contract deliverables are as follows:

3. Progress Reports: The contract requires four six-month progress reports and face-to-face meetings or teleconferences on progress made in completing the work and meeting the established timelines so that CDHS/TCS can monitor the performance of the contract. A written list of activities completed during the reporting period will be given to CDHS/TCS on the due dates specified in the contract. During the contract period, CDHS/TCS will organize at least two meetings, which require the attendance of all grantees to discuss issues such as sampling.

4. Final Analytic Report: A final analytic report on tobacco use among the special population targeted should be developed based on the analysis and interpretation of the special population survey and any other relevant information. Results should be presented that include estimates with 95 percent confidence intervals of smoking prevalence, other tobacco use behaviors, secondhand smoke exposure, knowledge, and attitudes by gender, by age, by smoking status, by generation, and by language. The report should include frequency tables for responses to all questions, and cigarette smoking and other tobacco products use prevalence charts by gender, by age, by generation, and by language. The report shall discuss the findings from the analysis described in the analytic plan and answer the questions listed in that section as well as other pertinent questions found to be relevant to detecting disparity and improving programmatic efforts targeting the special population.

5. Data Set and Technical Documentation: The contractor will be required to deliver to CDHS/TCS on CD-ROM a data set, accompanying documentation and a technical report in a format which can be readily used and understood by researchers and persons with statistical expertise for analysis and evaluation purposes. The data set should be in ASCII form. The documentation should include: a data dictionary with the names and locations of all variables in the data set; a description of data formats for all variables; a description of all relevant sample identifiers for analysis (sampling strata, sampled clusters, etc.); a description of all weights with a clear discussion of how they were computed; a technical report describing the methods used to collect the data; an analysis of the representation of the samples including a comparison of the demographics of the samples and the California general population; discussion of the methods used to calculate the confidence intervals; and copies of the questionnaires. The data set, documentation and technical report must be delivered to CDHS/TCS as the final deliverable. The contractor must expressly agree not to release any data until all deliverables are accepted by CDHS/TCS as satisfactory.

6. Public Access to the database: It is the intent of CDHS/TCS that the database produced by this contract be readily available and used not only by CDHS/TCS but also other researchers for analyses and scholarly research. It is the intent of CDHS/TCS that the data sets, documentation and technical reports become available to researchers as soon as they are determined to be acceptable by CDHS/TCS.

V. APPLICATION INSTRUCTIONS

A. GENERAL INSTRUCTIONS

1. **READ ALL INSTRUCTIONS CAREFULLY**. Be sure to include all of the information required in this RFA, including all attachments and copies. Re-check the application to ensure completeness. Do not assume that the reviewers have prior knowledge of the past history of the applicant agency or the agency's previous work or that they understand why the proposed design and plan are appropriate.

2. **DO NOT PROVIDE ANY MATERIALS THAT ARE NOT REQUESTED**. Any materials submitted that are not requested under this RFA will be discarded prior to application review, including pages that go over the maximum number in specified sections with page limitations.

3. Number each page of the application consecutively.

4. The type font size is to be no less than 12 characters per inch.

5. Do not use folders and binders; securely staple the application in the upper left corner.

6. Clearly indicate **"Special Populations Tobacco Use Studies RFA # TCS-02-100"** on the outside of the mailing envelope.

7. Attachments 1, 2, 6 and 7 require a signature by the person authorized to legally bind the applicant agency to the commitment outlined in the application. **Allow time to obtain these required signatures.**

8. Present the components of the RFA in the order listed below using the instructions provided on subsequent pages to complete each area.

➢ a. Application Cover Sheet (Attachment 2)

b. Application Checklist (Attachment 3) (No Attachment)

c. Study Abstract **2 page maximum**

d. Table of Contents (Attachment 4)

e. Applicant Agency (and Subcontractors) Qualifications and Experience **4 page maximum** (No Attachment)

f. Study Narrative (No Attachment) **50 page maximum**

g. SOW (Attachment 5)

h. Budget (No Attachment, see Appendix D for sample)

i. Budget Justification (No Attachment, see Appendix E for sample)

➢ j. Drug-Free Workplace Certification (Attachment 6)

➢ k. Agency Documentation Requirements (Attachment 7)

➢ l. Certification of Non-Acceptance of Tobacco Funds (Attachment 1)

NOTE: ➢ DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.

B. APPLICATION REQUIREMENTS

The following are the requirements and instructions for preparing and assembling applications. Answer all questions fully, as responses to RFA requirements and instructions will be used in the review and scoring of applications. All information must be assembled in the order that follows:

1. **Application Cover Sheet (Attachment 2)**

Item 1: Enter the **legal agency** name of the applicant. Enter the mailing address, which will appear on any subsequent agreement. Enter the name of the primary person to be contacted regarding this application, the phone number, the fax number, and e-mail address. Enter the federal identification number of the applicant.

Item 2: The grant term, 07/01/02 to 06/30/04, has been entered.

Item 3: Enter the Budget amount requested for the **entire** grant term.

Item 4: The applicant official authorized to sign on the agency's behalf must sign and date the certification statement provided. Also print the name and title of this official.

2. **Application Checklist (Attachment 3)**

The items included on the checklist are **<u>required</u>** to be submitted as part of the application and must be presented in the order noted. <u>If any of the items are omitted from the application, the application will be considered incomplete and out of compliance with this RFA and will not be reviewed</u>. Complete the attached application checklist to ensure that all application attachments and required components are included.

3. **Study Abstract (2 page maximum) (no form provided) = 10 points**

The abstract is a two-page summary of the application. The purpose of the abstract is to give the reader a concise overview of how the applicant intends to design and conduct the work.

a. At the top of the left corner enter the agency name and the title of the project.

b. Provide a summary of the agency capability, the overall study design, and the various phases of the intended work, including the time frames for the major steps.

c. Insert the abstract immediately following the application checklist.

4. **Table of Contents (Attachment 4)**

Provide a Table of Contents with page numbers referenced. Application sections must be presented in the sequence shown on the Application Checklist (Attachment 3).

5. **Agency Qualifications and Experience**
(No attachment, 5 page maximum, excluding curriculum vita) = 30 points

Criteria

Funding preference will be given to proposals that exhibit the following qualifications and experiences:

- Demonstrate knowledge of and prior experience with conducting culturally competent surveillance activities.
- Demonstrate knowledge of and prior experience with conducting studies of the target population or a similar population.
- Demonstrate at least five years of experience with large scale and complex data collection, data management, and quality control procedures.
- Demonstrate at least five years with complex analysis of primary and secondary data sets.
- Demonstrate the ability to prepare concise reports suitable for use by non-academic professionals working in public health.

- Demonstrate that proposed professional staff are qualified to conduct the SOW as demonstrated by their training, experience, and publications.

- Demonstrate at least three years satisfactory performance with administering fiscal and programmatic management of government grant funds, including timely and accurate submission of fiscal and program documentation, subcontractor documentation, completion of deliverables, which are timely and satisfactory to the funder.

Instructions

Answer all of the following questions as they apply to the applicant agency.

a. Describe the primary purpose or function of the applicant agency, how long the applicant agency has been in existence, the general range of functions the agency has experience in, and how long the agency has been involved in the various functions.

b. Describe the agency's fiscal and administrative ability to manage state government contract funds.

c. Describe the agency's audit history in the past three (3) years. Describe the frequency of audits, date of last audit, and a summary of major findings from the last agency audit.

d. Describe the agency's ability and experience in implementing the proposed study or similar studies. Clearly describe experience in conducting other surveys or studies on tobacco use and smoking prevalence.

e. Describe the agency's ability and experience in collecting data compatible with state and national data.

f. Describe the agency's ability and experience in analyzing primary and secondary survey data.

g. Describe the data processing computer hardware that is available to the agency for carrying out the proposed study.

h. Describe the qualifications of any proposed subcontractor(s) in terms of its fiscal and administrative ability and its ability and experience to conduct the proposed survey study activities. Identify the role(s) and responsibilities the subcontractor(s) will play in carrying out the project.

i. List the names and positions (titles) of proposed key staff positions, full-time and part-time, with percent of time and description of duties and qualifications. Include the curriculum vita (2-page maximum) of the principle investigator/project director, and list relevant survey studies previously performed by the principle investigator/project director. CDHS/TCS reserves the right to approve any substitution in key personnel during the life of the project.

6. **Study Narrative** (**No attachment provided, 50 page maximum**) = 80 points

   <u>Criteria</u>

   Funding preference will be given to the agency that most closely addresses the criteria below:

   - Provides time limited objectives for each major task, i.e., data collection instrument development, data collection methods, sampling plan, analytic plan, and provision of reports and deliverables.

   - Proposes efficient and appropriate survey research methods that describe data collection instruments and protocols; sampling methods; sample size; data management; and data preparation.

   - Proposes timely and efficient methods to deliver reports, data sets and technical documentation to CDHS/TCS.

   <u>Instruction</u>

   Describe specifically how the agency will carry out this project, including all survey methods and plans. The description shall provide detail regarding the areas outlined above in **Section IV, Statement of Work** of this RFA. Organize the Study Narrative Work Plan in the same order as the headings in **Section IV**. The description shall include who will be responsible for performing various planned work and when these various activities/functions will be completed. Provide a separate study narrative for each proposed subcontract.

7. **SOW** (Attachment 5 or a facsimile) = 30 points

   <u>Criteria</u>

   The SOW is an outline of the Study Narrative. Funding preference will be given to the agency that most closely addresses the criteria below.

   - States how much will be done;

   - States the data collection instruments to be used and describes development of data collection instruments;

- Describes how data will be collected;
- Describes the locations where data will be collected;
- Describes how many will be measured;
- Describes how samples will be selected;
- Describes data management and quality assurance methods;
- Describes the type of analyses to be done;
- Describes preparation of reports and other deliverables;
- Designates specific staff positions, subcontractors or consultants responsible for completing various tasks;
- Designates a timeline for completion of major activities;
- Designates CDHS/TCS copyright on products; and
- Designates the percentage of effort assigned to complete deliverables.

Instructions

1) The SOW provides the basis for contract negotiations, and along with the Budget, becomes a legally binding document. The SOW is referenced in the contract and is the "road map" that provides the direction, activities, expected outcomes and deliverables of the project. The approved SOW and any subsequent revision is incorporated and made part of the contract. The SOW can only be changed with prior approval from CDHS/TCS.

2) Header Information

   The header information must be included on every page. Include your agency name and project name. The contract term is **July 1, 2002 to June 30, 2004**. The revision date is the date the SOW is submitted to CDHS/TCS after any revisions are made to the document. Leave this blank for submission. Leave the contract number blank.

3) Column 1: Objectives/Activities

Insert the objective(s) for each of the Core Project Components. Immediately following each objective, in outline format describe the activities to achieve the objective below. Please organize specific tasks under the following headings: Coordination, Data Collection Development, Data Collection Methods, Data Analyses and Dissemination.

- How much will be done (e.g., sample size);
- Where activities will occur (e.g., location of data collection); and
- What will be done (e.g., data collection development, data collection methods, sampling methods, management and preparation, data analyses collaboration methods, report development).

4) Column 2: Copyright

Place a copyright sign (©) next to each deliverable that is subject to copyright laws. This includes data collection instruments and protocols, educational materials and reports. Refer to: **www.dhs.ca.gov/tobacco** for more information regarding copyright of materials produced.

5) Column 3: Percent Deliverable

For each deliverable, indicate the programmatic value with a percentage that reflects staff and budget resources. This column must total 100 percent. Deliverables specified in the Scope of Work must be fully and satisfactorily performed or produced in order for the contractor to receive the maximum award negotiated with CDHS/TCS. Deliverables include all final data collection instruments, data collection protocols, data sets and data reports.

If at the term of the contract, CDHS/TCS determines that any activity or product was not fulfilled in its entirety, or the quality of it was unsatisfactory, CDHS/TCS will reduce the maximum amount payable to the contractor accordingly. The percentage is used to help ascertain and calculate the maximum amount the contractor should be paid at the end of the contract term.

6) Column 4: Start/End Date

List the progress report periods during which each program and evaluation activity is expected to start and end. Be sure to state the progress report period in which you will begin to work on the development of the data collection instrument(s) and the progress report period in which the data collection instrument(s) will be finalized and the progress report period in which data collection will begin and end.

Use only the progress reporting periods below as the time frames in this column. For example, 07/02 to 12/02. The progress report periods are as follows:

- **07/02-12/02**
- **01/03-06/03**
- **07/03-12/03**
- **01/04-06/04**

7) Column 5: Who is Responsible

Indicate the staff position, subcontractor, or consultant responsible for each activity. The positions must correspond to the position titles used in the Budget Justification. You may abbreviate position titles (e.g., RS for Research Scientist).

8) Column 6: Tracking Measures

List the items that are used to document and verify that activities are completed. These include sampling results, pilot test results, survey instruments in English and other languages (if needed), and survey results. These measures verify that the activity occurred and provide supporting documentation for the progress report

Budget and Budget Justification (No Attachments, See Appendices D and E for samples) = 20 points

This section provides information and instructions on the Budget and Budget Justification that must be included in your application.

<u>Criteria</u>

Funding preference shall be given to applicants that:

- Submit reasonable Budgets for the proposed quality and quantity of activities in the SOW;
- Propose reasonable personnel and consultant costs, given the qualifications of the individuals and needs of the project;
- Propose salaries consistent with comparable State civil services positions; and

- Provide the level of detail requested in the Budget and Budget Justification instructions.

Instructions

a. **Budget Instructions**

The Budget is a summary of the expenses described in the Budget Justification. It must be realistic, cost-effective, and appropriate to the proposed SOW. The Budget is the controlling mechanism for expenditures and the basis for approval of invoices.

Prepare one Budget for the entire grant term, which is July 1, 2002 through June 30, 2004. This Budget must also reflect individual budgets for each FY within the grant term. Only use whole numbers and round to the nearest dollar. Please refer to Appendix D for the required Budget format.

Once approved, the Budget will be incorporated into the grant.

The Budget consists of eight (8) categories: A. Personnel Costs; B. Fringe Benefits; C. Operating Expenses; D. Equipment Expenses; E. Travel/Per Diem, and Training; F. Subcontracts and Consultants; G. Other Costs; and H. Indirect Expenses.

The Subcontracts and Consultants and Other Costs categories may contain several Line Items with associated costs. Each Line Item within these two categories must be itemized in the Budget and Budget Justification.

b. **Budget Justification Instructions**

The Budget Justification: 1) describes and justifies the expenditures associated with the activities in the SOW, and 2) helps evaluate the SOW and Budget. Prepare one Budget Justification for the entire grant term. Only use whole numbers and round to the nearest dollar. The amounts in the Budget columns and Budget Justification must be the same. Please refer to Appendix E for the required Budget Justification format. This format is required to maintain a standardized review and audit trail.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff increase/decrease as project intensity fluctuates.

Personnel Costs

This category of the Budget Justification provides detail on the following:

(1) Position Title:

List all classifications or functional titles for positions for this grant. Management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper, etc.) budgeted at less than 10 percent should not be included in the Personnel Costs category, but should be included in the Indirect Expenses category. Any applicant having an established policy that includes such positions in the Personnel Costs category shall so indicate and attach a copy of the policy to the Budget Justification.

(2) Salary Range:

Identify the actual salary range and the frequency of pay periods (monthly, semi-monthly, bi-weekly, weekly, hourly) for each position. The salary range shall reflect the frequency that the employee is actually paid.

Indicate the salary range for each position based on the full-time salary, regardless of the actual time base budgeted. Each salary range shall allow for anticipated salary increases (e.g., merit salary adjustments, bilingual pay, etc.) through the end of the grant term.

Salaries shall not exceed those paid to State personnel for similar positions/classifications. Please refer to Appendix F, Comparable State Civil Service Classifications.

If any salary exceeds the comparable State salary range, then justify the excess. Any such justification shall be approved in writing by the State. CDHS/TCS may request additional information during grant negotiations.

(3) Percent of Time:

For each position indicate the percentage of time, using whole numbers, or the total hours per pay period. If the amount of time for a position varies from month to month, then indicate a percentage range of the time base.

(4) Pay Periods:

Indicate the number of pay periods for which payment shall be claimed. Pay periods are defined as follows:

Monthly = 12 pay periods per year
Semi-monthly = 24 pay periods per year
Bi-weekly = 26 pay periods per year
Weekly = 52 pay periods per year
Hourly = “X” number of hours per year

(5) Amount Requested:

Calculate and list the Amount Requested by FY for each position. (Salary X percent of time X number of pay periods = Total Salary). Add the total salaries for each position to obtain the Total for Grant Term. Please refer to Appendix E, Budget Justification.

NOTE: The total salary for each position has two restrictions.

(a) The total salary **cannot be less** than the amount computed by multiplying the lowest amount within the salary range X the lowest percentage of time X the lowest number of pay periods.

AND

(b) The total salary **cannot be greater** than the amount computed by multiplying the highest amount within the salary range X the highest percentage of time X the highest number of pay periods.

(6) Description of Duties:

Provide a summary of the responsibilities for each position. Indicate the position(s) responsible for the evaluation activities.

(7) Total Personnel Costs:

Add the amount budgeted for each position to compute the Total Personnel Costs for each FY and the grant term.

Fringe Benefits

Fringe benefits do not include employee leave, i.e., annual leave, vacation, sick leave, holidays, jury duty, and/or military leave training. Include employee leave in the salary paid to the employee.

List the benefits that your agency provides. Indicate the percentage rate and dollar amount requested for Fringe Benefits. If the percentage rate for benefits differs for various positions, indicate the low and high range, e.g., 20-25 percent.

If applicable, identify the positions that do not receive benefits with an asterisk (*).

Total Personnel Expenses

Add the Total Personnel Costs and Fringe Benefits to compute the Total Personnel Expenses for each FY and the grant term.

Operating Expenses

Provide a summary of non-personnel expenses that are not chargeable to Indirect Expenses and indicate the budgeted amount for each Line Item.

Operating Expenses include, but are not limited to, the following Line Items:

(1) General Expenses:

(a) Office Supplies -- Office supplies refer to general supplies such as pens, pencils, paper, etc.
(b) Postage -- Postage includes all mailing expenses.
(c) Duplicating -- Duplicating refers to photocopying expenses or reproduction costs of printed materials for small office jobs. This sub-line item also includes the tobacco project's share of the applicant's copy machine usage and costs for copier maintenance agreements and copier supplies.

(2) Communications:

Communications refer to the monthly charges and installation costs associated with the telephone system. This may also include costs for FAX lines and Internet accesses.

Cellular phones and monthly access fees are not authorized for this grant.

Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and is dependent upon the need of the applicant and approval of CDHS/TCS.

All funded grantees are required to obtain and maintain an active PARTNERS account. While there is no charge for this subscription, your agency must budget for an Internet provider. Internet access fees are generally \$20-\$25 per month. Budget monthly fees for Internet access fees during the grant term. A modem is required to access PARTNERS and the purchase of a modem may be budgeted in the Equipment category.

(3) Printing:

Printing refers to the reproduction costs of training guides, business cards, brochures, posters, etc. for larger jobs and is usually completed by outside vendors.

(4) Space Rent/Lease:

Square footage shall not exceed 150 square feet per full-time equivalent (FTE) plus “reasonable” square footage for shared space such as conference rooms, storage space, etc.

Provide the total number of square feet and the budgeted amount to be charged to this grant. Consider any rate increases during the grant term.

Example:

2 staff X 150 sq. ft. X $1.00/sq. ft. X 24 mo. = $ 7,200 (Yr. 1 and 2)
2 staff X 150 sq. ft. X $1.25/sq. ft. X 12 mo. = 4,500 (Yr. 3)
Total for 36 mo. = $11,700

If the total square footage per FTE exceeds State standards, then justify the need for the additional space.

(5) Equipment Rental:

List all rental equipment, quantify each item, and provide for each item the monthly rental rate, number of rental months, and the approximate dollar amount.

NOTE: “Renting/Leasing to own, Purchase/Leaseback, and Lease/Purchase” of equipment is not allowed.

(6) Audit Expenses:

All CDHS/TCS funded grantees are required to conduct an annual Financial and Compliance audit. The budgeted amount should represent the proportionate amount of this grant in relationship to the applicant’s business' total revenue. For example, if this grant represents 10 percent of your business' total revenue, then this grant would be responsible for no more than 10 percent of the total annual audit costs.

Provide the dollar amount allocated for the audit, the calculation for this amount, and the percentage this grant represents of your business' total revenue. Also identify the relevant FY (e.g., July 1 through June 30).

This Audit Expense Line Item plus the Indirect Expenses Line Item cannot exceed 25 percent of your Total Personnel Expenses (Personnel Costs plus Fringe Benefits).

Audit costs may be budgeted in this Line Item **or** in Indirect Expenses. Grantees choosing not to allocate funds for audit purposes must provide a written justification explaining their compliance with the audit requirement.

(7) Total Operating Expenses:

Add all Operating Expense Line Items to compute the Total Operating Expenses for each FY and the grant term.

Equipment Expenses

Due to the anticipated limited funding amount of grant awards from this RFA, equipment purchases will NOT be considered. Equipment expenses include the purchases of all computer (software and hardware) and office equipment. Applicants are expected to demonstrate their ability to perform the work proposed with existing equipment that was presented in the Applicant Capability section of this application.

Computer equipment includes, but is not limited to, personal computers, software, printers, scanners, external Zip drives, external hard drives and replacements, external modems, and uninterrupted computer power supply adapters.

Office equipment includes, but is not limited to, desks, conference tables, chairs, conference call speakers, telephones, fax machines, easels, cameras, etc. Refer to Policy Section, Chapter 400 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on equipment purchases.

Travel/Per Diem and Training

Travel and training are to be consistent with the needs of the tobacco control project and support the SOW. Travel expenses are reimbursed at the current State Department of Personnel Administration rates. Please refer to Appendix B, Travel Reimbursement Information.

Additionally, State funds may not be used for per diem and trainings/conferences associated with out-of state travel without prior written approval by CDHS/TCS.

(1) Local Travel/Training:

(a) Local Travel:

Local travel expenses include airfare, meals, lodging, incidental expenses and mileage. This Line Item may include mileage for project-related activities (e.g., to conduct local surveys, or attend local or Regional, meetings or training's, etc.).

Provide the dollar amount requested for local travel that is directly related to completion of the SOW.

(b) Local Training:

Local training costs include registration fees for staff development or any other additional training events for professional, clerical, and administrative personnel, etc., necessary for the completion of activities in the SOW. Training's may include courses on computer software, survey interview techniques, planning, leadership, etc.

Whenever possible, identify the training/conference, its location and date(s), the number of individuals attending, and the total cost to attend.

Provide the dollar amount requested for local training costs that are related to completion of the SOW.

(2) CDHS/TCS Travel and Training/Conferences:

(a) General Description:

<u>Number of Trainings/Conferences:</u> CDHS/TCS and its statewide contractors (e.g., TECC, statewide public relations contractor, CYAN, BREATH, Ethnic Networks, and others) typically conduct 12 to14 trainings/conferences each year.

These trainings/conferences are specifically directed toward CDHS/TCS-funded projects; provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, and advocacy; and are a means to be connected to California's larger tobacco control movement.

<u>Length of Trainings/Conferences:</u> Each training/conference is usually one to two days. A statewide conference may be two to three days.

<u>Training/Conference Topics:</u> Topics generally cover a broad range such as educational materials development, youth advocacy, in-store advertising strategies, youth access to tobacco issues, coalitions,

smoke-free bars, alternative tobacco, transnational tobacco issues, evaluation, and spokesperson training.

Training Sites: Each training is usually offered only once. Some other trainings are offered twice: one in Northern California (Bay Area or Sacramento counties) and another in Southern California (Los Angeles, Orange, or San Diego counties).

(b) Travel/Training Budget Guidelines:

Required CDHS/TCS Trainings/Conferences

(1) New Grantee Orientation:

This is a one-day session for the Project Director, the Project Evaluator, and the person who is responsible for fiscal matters. This event occurs in Year 1 only and is repeated in two different locations, usually one each in Northern California and Southern California.

Budget $250 per person ($125 for travel/per diem and $125 for registration) for three people to attend.

(2) Project Directors' Conference/Evaluation Showcase:

This event is typically a three-day conference for one to three program and evaluation staff/consultants that occurs in alternate years. Budget this expense in FY two.

Budget $1200 per person ($1000 for travel/per diem and $200 for registration) for a maximum of two people to attend. The $1000 for travel/per diem includes two to three nights of lodging and airfare.

(3) Trainings/Conferences Required by CDHS/TCS and Statewide Contractors:

CDHS/TCS requires attendance at one Tobacco Education and Research Oversight Committee (TEROC) meeting OR one Evaluation Task Force (ETF) meeting during the contract period to present findings to date. Each is usually one day for one to two program/evaluation staff.

Budget $375 per person ($250 for travel/per diem and $125 for registration) for each person to attend and present at 1 meeting.

Subcontracts and Consultants

Include both subcontractor agreements and consultant agreements. CDHS/TCS must review and approve **any** agreement costing $5,000 or more.

A subcontractor is an individual or organization who performs a specialized task that is directly related to providing project services. Typical services provided by a subcontractor are conducting local surveys, developing anti-tobacco use education materials, coordinating large anti-tobacco use education events, etc. The use of subcontractors must be clearly defined in the SOW.

A consultant is an individual whose level or area of expertise relating to the target population extends beyond that possessed by the applicant's project staff. Typical services provided by a consultant are advice on programmatic issues such as program evaluation, sampling design, survey methodology, etc. Consultants are to be used only for activities directly related to the tobacco education and prevention program. The use of consultants must be clearly defined in the SOW.

The rate paid to a consultant should be commensurate with his/her level of training, expertise, and national recognition. Every effort should be made to negotiate the lowest possible rate.

Salaries paid to a subcontractor shall not exceed those paid to State personnel for similar positions/classifications. Refer to Appendix F, Comparable State Civil Service Classifications.

List each subcontractor and consultant and provide the budgeted amount, contract term, and description of services for each.

Other Costs

(1) Promotional Items and Incentives:

Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco, for more information on promotional items and incentives.

(2) Additional Expenses:

This Line Item allows for expenditures that otherwise are not listed in this sample Budget Justification. If you use line items under Additional Expenses, then list them individually and be specific. e.g., fees for renting a meeting room to conduct training or renting a booth at a health fair, etc.

All expenditures for items listed under Additional Expenses must also be referenced in the SOW.

Provide justification and the amount requested for each additional Line Item.

(3) Total Other Costs:

Add all Other Costs Line Items to compute the Total Other Costs for each FY and the grant term.

Indirect Expenses

Indirect Expenses are costs that are not directly associated with the project's deliverables. Examples of Indirect Expenses are: management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance audit.

Provide a list of all Indirect Expenses charged to this grant and the dollar amount requested. **Indirect Expenses CANNOT EXCEED 25 percent of the Total Personnel Expenses (Personnel Costs plus Fringe Benefits).**

Total Expenses

Add Personnel Costs, Fringe Benefits, Operating Expenses, Equipment Expenses, Travel/Per Diem and Training, Subcontracts and Consultants, Other Costs, and Indirect Expenses to compute Total Expenses for each FY and the grant term.

8. **Additional Required Forms**

The following documents require Completion/Signature by the person authorized to bind the applicant agency.

6. Drug Free Workplace Certification (Attachment 6)

2. Agency Documentation Requirements (Attachment 7)

3. Certification of Non-Acceptance of Tobacco Funds (Attachment 1)

VI. TABLE OF CONTENTS FOR ENCLOSED ATTACHMENTS

ATTACHMENT **PAGE**

ATTACHMENT 1

CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS

____

Company/Organization Name

____

Please check one of the following:

❑ The applicant named above hereby certifies that it will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

❑ Universities/Colleges Only
The Principal Investigator of the university or college named above hereby certifies that he/she has not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the grant period. In addition, the Principal Investigator of the university or college named above hereby certifies that he/she will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

Director of Agency or Principal Investigator:

____________________________________ ____________________________________

Signature Date Print Name and Title

COVER SHEET: RFA #TCS-02-100 SPECIAL POPULATIONS TOBACCO USE STUDIES

1. Applicant Information:

   Applicant Name ____

   Project Name____

   Mailing Address ____

   City ___________________________________ Zip____________

   County ____

   Contact Person's Name ______________________________________

   Telephone (_______)________________________ FAX (______)________________________

   E-mail ____

   Federal Identification Number_________________________________

2. Term of Grant: From 07/01/02 to 06/30/04

3. Total Budget Amount Requested for entire grant term of 07/01/02 to 06/30/04: $_________

4. The undersigned hereby affirms that the statements contained in the application package are true and complete to the best of the applicant's knowledge and accepts as a condition of a grant, the obligation to comply with the applicable state and federal requirements, policies, standards, and regulations. The undersigned recognizes that this is a public document and open to public inspection.

5. Check one or more of the priority areas included in the application:

Signature
of Agency Representative ____ Date____________

Print Name and Title____

APPLICATION CHECKLIST

The following attachments and components must be completed and submitted in the order shown here. Applications that are missing any of these attachments or components will be considered non-compliant and will not be reviewed. Please note that you are not required to submit the Application Checklist.

Attachments and Components	**Check Mark**
➢ • One Original Application (Marked "Original")	____________
• 5 Additional copies of the Application	____________
➢ • Application Cover Sheet (Attachment 2)	____________
• Application Checklist (Attachment 3) Optional	____________
• Study Abstract	____________
• Table of Contents (Attachment 4)	____________
• Applicant Qualifications and Experience	____________
• Scope of Work (Attachment 5)	____________
• Data Collection and Preparation Plan	____________
• Analytic Plan	____________
• Reports and Deliverables	____________
• Budget (No Attachment)	____________
• Budget Justification (No Attachment)	____________
➢ • Drug-Free Workplace Certification (Attachment 6)	____________
➢ • Agency Documentation Requirements (Attachment 7)	____________
➢ • Certification of Non-Acceptance of Tobacco Funds (Attachment 1)	____________

NOTE: ➢ DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.

Special Population Tobacco Use Studies

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ATTACHMENT 5

Exhibit A

Tobacco Control Section
Scope of Work

Grant Number:

Agency Name:

Project Name:

Grant Term: 7/1/02 – 6/30/04

Revision Date:

Report Period:

Objectives/Activities	©	%	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only	
						Document Number/ Letter	Actual Date(s) Completed

Page__of__

STATE OF CALIFORNIA

ATTACHMENT 6

DRUG-FREE WORKPLACE CERTIFICATION

STD. 21 (12/93)

I, the official named below, hereby swear that I am duly authorized legally to bind the prospective bidder, contractor or grant recipient to the certification described below. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

COMPANY / ORGANIZATION NAME:	
OFFICIAL'S NAME:	
DATE EXECUTED:	EXECUTED IN THE COUNTY OF:
CONTRACTOR or GRANT RECIPIENT SIGNATURE:	
TITLE:	
FEDERAL ID NUMBER:	

The firm named above hereby certifies compliance with Government Code Section 8355 in matters relating to providing a drug-free workplace. The above named contractor or grant recipient will:

1. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a).

2. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(b), to inform employees about all of the following:

   (a) The dangers of drug abuse in the workplace,

   (b) The person's or organization's policy of maintaining a drug-free workplace,

   (c) Any available counseling, rehabilitation and employee assistance programs, and

   (d) Penalties that may be imposed upon employees for drug abuse violations.

3. Provide as required by Government Code Section 8355(c), that every employee who works on the proposed contract or grant:

   (a) Will receive a copy of the company's drug-free workplace policy statement, and

   (b) Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant.

At the election of above named firm, from and after the "Date Executed" and until _____ (not to exceed 36 months), the Department of Health Services (DHS) will regard this certificate as valid for all contracts or grants entered into between the above named firm and DHS without requiring the above named firm to provide a new and individual certificate for each contract or grant. If the above named firm elects to fill in the blank date, then the terms and conditions of this certificate shall have the same force, meaning, effect and enforceability as if a certificate were separately, specifically, and individually provided for each contract or grant between the above named firm and DHS.

AGENCY DOCUMENTATION REQUIREMENTS

The California Department of Health Services may audit contracts at any time. The documentation required for each audit may typically include, but is not limited to the following:

Fiscal Records

A. General Ledger, Journals, and Charts of Accounts
B. Cash Receipts and Disbursements Journal with Supporting Documents
C. Vendor Invoices to Support Expenditures
D. Program Remittance Advices from State Controller
E. Payroll Records, including, but not limited to personnel time sheets signed/dated by the employee and supervisor reflecting actual time worked on program.
F. Travel Log, Employee Expense Claims and appropriate receipts
G. Billing Records (Program Log)
H. State and Federal Tax Withholding Records
I. Financial Statements and Independent Auditor's of County Auditor's Report
J. Computation of the Fringe Benefit of Fund Sources
K. Agency wide Budget and Listing of Fund Sources
L. Copies of Monthly Invoices to the State
M. Copies of Reimbursement Warrants and Remittance Advices from the State
N. Administrative Manuals such as Personnel Policies and Procedures, Travel Policies and Procedures

Program Records

A. Project Application (submitted in response to this RFA)
B. Contract and Contract Amendments
C. CDHS/TCS Competitive Grantee Administrative and Policy Manual
D. Progress Reports and the Final Report
E. Program Audit Reports of Site Visits
F. Scope of Work, Parts I and II
G. Correspondence Regarding the Contract and/or Subcontracts
H. Program implementation records that document the number of people served, materials developed activities conducted, etc. These records may include, but are not limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc.

Other Records

A. Board of Director's Minutes and Articles of Incorporation
B. Non-Profit Approval Letter/Certification
C. Organization Chart (Agencywide) and Duty Statements
D. Program Correspondence Files
E. Other Program Audits of the Facility

Note: See Next Page for Agency Certification and Required Signatures

AGENCY DOCUMENTATION REQUIREMENTS

I certify that the above will be available upon request by the CDHS, CDHS/TCS Program/Contract Manager and/or Auditors.

Director of Agency:		Agency Financial Management Official:	
Signature	Date	Signature	Date
Print Name and Title		Print Name and Title	

VII. TABLE OF CONTENTS FOR ENCLOSED APPENDICES

APPENDIX **PAGE**

PARTIAL LIST OF TOBACCO COMPANY SUBSIDIARIES

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occur.

Parent Company: Philip Morris Incorporated, Philip Morris International, Inc., Kraft Foods, Inc., and Miller Brewing Company.

KRAFT Foods, Selected Brands

Coffee:	Maxwell House, Sanka, Yuban, General Foods, International Coffees, Maxim, Starbucks
Soft Drinks:	Country Time, Crystal Light, Kool-Aid, Tang, Capri Sun
POST Cereals:	Alpha-Bits, Banana Nut Crunch, Blueberry Morning, Cranberry Almond Crunch, Frosted Shredded Wheat, Fruit & Fiber, Golden Crisp, Grape-Nuts, Grape-Nuts O's, Great Grains, Honey Bunches of Oats, Honeycomb, Honey Nut Shredded Wheat, Natural Bran Flakes, Oreo O's, Pebbles, Raisin Bran, Shredded Wheat, Shredded Wheat 'n Bran, Spoon Size Shredded Wheat, Toasties, Waffle Crisp, 100% Bran
Condiments & Sauces:	Kraft mayonnaise, Kraft barbecue and grilling sauces, Miracle Whip, Bull's-Eye barbecue and grilling sauces, Kraft Sauceworks cocktail, horseradish, sweet 'n sour and tartar sauces.
Confectioneries:	Altoids mints, Callard & Bowser toffees, La Vosgienne, Toblerone and Tobler chocolates
Dry Desserts:	D-Zerta, Jell-O, Minute brand tapioca
Dry Grocery:	Baker's chocolate and coconut, Calumet baking powder, Oven Fry coatings, Shake 'N Bake, Sure-Jell and Certo pectins
Ethnic Foods:	Taco Bell dinner kits, salsa and meal components
Meals/ Side Dishes:	Kraft macaroni & cheese, Minute rice, Stove Top stuffing mix, Stove Top Oven Classics, Velveeta shells & cheese
Salad Dressing:	Good Seasons mixes, Kraft, Seven Seas
Snacks:	Handi-Snacks, Kraft

Toppings:	Dream Whip whipped topping mix, Kraft dessert toppings, Cool Whip
Cheese:	Parmesan/ Kraft, Kraft Free, Di Giorno
Romano:	
Natural:	Kraft, Cracker Barrel, Harvest Moon
Processed	Kraft Deluxe, Kraft Singles, Kraft Super Slice, Kraft Cheez Whiz, American Light n' Lively, Old English, Velveeta
Cheese: Cheese:	Cream, Philadelphia, Philly Flavors, Temp-Tee
Other Cheeses:	Athenos, Churny, Di Giorno, Hoffman's, Polly-O
Dairy Products:	Breakstone's sour cream, cottage cheese and dips, Breyers yogurt, Jell-O yogurt, Knudsen sour cream and cottage cheese, Light n' Lively low-fat cottage cheese, yogurt, Sealtest cottage cheese and sour cream
Fresh Pasta & Sauces:	Di Giorno
Processed Meats:	Oscar Mayer hot dogs, cold cuts and bacon, Osacar Mayer Lunchables, Louis Rich turkey products (hot dogs, cold cuts, and bacon), Louis Rich Carving Board sliced meats
Pickles & Sauerkraut:	Claussen
Pizza:	Di Giorno, Jack's, Tombstone

<u>KRAFT Foods International, Selected Brands</u>

Cheese:	Dairylea, Eden, El Caserio, Invernizzi, Kraft, P'tit Quebec, Philadelphia, Sottilette
Coffee:	Blendy, Carte Noire, Gevalia, Grand' Mere, Jacobs Kronung, Jacobs Monarch, Jacques Vabre, Kaffee HAG, Kenco, Maxim, Maxwell House, Saimaza, Splendid

Confectioneries: Aladdin, Cote d'Or, Daim, Figaro, Freia, Hollywood, Korona, Lacta, Marabou, Milka, Poiana, Prince Polo, Suchard, Sugus, Terry'', Toblerone Powdered Soft Drinks, Clight, Frisco, Q-Refresko, Tang

Other: Bird's custard, Estrella snacks, Kraft ketchup, Kraft peanut butter, Magic Moments pudding, Miracle Whip/Dream Whip spread, Miracoli pasta, Simmenthal canned meats, Vegemite spread

Miller Trademark Brands

Miller Lite, Miller Lite Ice, Miller Genuine Draft, Miller Genuine Draft Lite, Miller High Life, Miller High Life Light, Miller High LIfe Ice, Miller Beer, Sharp's non-alcohol brew, Milwaukee's Best, Milwaukee's Best Light, Milwaukee's Best Ice, Meister Brau, Meister Brau Light, Magnum Malt Liquor, Henry Weinhard's Private Reserve, Henry Weinhard's Dark, Henry Weinhard's Porter, Henry Weinhard's Amber Ale, Henry Weinhard's Pale Ale, Henry Weinhard's Hazelnut Stout, Henry Weinhard's Blackberry Wheat, Henry Weinhard's Hefeweizen, Henry Weinhard's Red Lager, Hamm's, Hamm's Draft, Hamm's Light, Olde English 800 Malt Liquor, Olde English 800 Ice, Mickey's Malt Liquor, Mickey's Ice, Red Dog, ICEHOUSE, Southpaw Light, ICEHOUSE Light, Leinenkugel's Original Premium, Leinenkugel's Light, Leinenkugel's Northwoods Lager, Leinenkugel's Genuine Bock (seasonal), Leinenkugel's Red Lager, Leinenkugel's Winter Lager (seasonal), Leinenkugel's Autumn Gold (seasonal), Leinenkugel's Honey Weiss, Leinenkugel's Berry Weiss (seasonal), Leinenkugel's Auburn Ale, Leinenkugel's Big Butt Doppelbock (seasonal), Leinenkugel's Maple Brown Lager, Leinenkugel's Creamy Draft (draft only), Leinenkugel's Hefeweizen (draft only), Celis White, Celis Grand Cru, Celis Pale Ale, Celis Golden, Celis Raspberry, Celis Dubbel Ale, Pale Rider Ale, Shipyard Export Ale, Goat Island Light Ale, Fuggles Pale Ale, Old Thumper Extra Special Ale, Blue Fin Stout, Longfellow Winter Ale (seasonal), Longfellow India Pale Ale (seasonal) Mystic Seaport Pale Ale, Chamberlain Pale Ale, Sirius Summer Wheat Ale (seasonal), Prelude Ale (seasonal), Molson Golden, Molson Export Ale, Molson Canadian, Molson Canadian Light, Molson Light, Molson Ice, Molson Exel non-alcohol brew, Molson Red Jack Ale, Foster's Lager, Foster's Special Bitter, Sheaf Stout, Presidente (from Cerveceria Nacional Dominicana, Santa Domingo, Dominican Republic), Shanghai (from Shanghai Foster's Brewery Co. Ltd., Shanghai, People's Republic of China)

Parent Company: US Tobacco

Wines: Chateau Ste. Michelle, Columbia Crest, Domaine Ste. Michelle, Villa Mt. Eden, Conn Creek, Colour Volant

Beer: Bert Grant's Ale

TRAVEL REIMBURSEMENT INFORMATION
Effective October 1, 2001

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract.

   a. Reimbursement shall be at the rates established for nonrepresented/excluded state employees.

   b. Short Term Travel is defined as a 24-hour period, and less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever a contract employee leaves his or her home or headquarters. "Headquarters" is defined as the place where the contracted personnel spends the largest portion of their working time and returns to upon the completion of special assignments.

   c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on page 2 of this exhibit to determine the reimbursement allowance. All lodging must be receipted. If contractor does not present receipts, lodging will not be reimbursed.

   (1) Lodging (with receipts):

Travel Location / Area	*Reimbursement Rate*
Statewide Non-High Cost Area	$ 84.00 plus tax
Counties of Los Angeles and San Diego	***$110.00 plus tax***
Counties of Alameda, San Francisco, San Mateo, and Santa Clara	***$140 plus tax***

   Reimbursement for actual lodging expenses exceeding the above amounts may be allowed with the advance written approval of the Deputy Director of the Department of Health Service or his or her designee. Receipts are required.

   (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the contractor will be reimbursed actual amounts spent up to the maximum.

Meal / Expense	**Reimbursement Rate**
Breakfast	$ 6.00
Lunch	$ 10.00
Dinner	$ 18.00
Incidental	$ 6.00

d. Out-of-state travel may only be reimbursed if such travel has been stipulated in the contract and has been approved in advance by the program with which the contract is held. For out-or-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors must have prior Departmental approval and a budgeted trip authority.

e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on page 2 of this bulletin.

f. 2 No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.

2. If any of the reimbursement rates stated herein are changed by the Department of Personnel Administration, no formal contract amendment will be required to incorporate the new rates. However, DHS shall inform the contractor, in writing, of the revised travel reimbursement rates.

3. For transportation expenses, the contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.

4. **Note on use of autos:** If a contractor uses his or her car for transportation, the rate of pay will be 34 cents maximum per mile. If the contractor is a person with a disability who must operate a motor vehicle on official state business and who can operate only specially equipped or modified vehicles may claim up to 37 cents per mile. If a contractor uses his or her car "in lieu of" air fair, the air coach fair will be the maximum paid by the State. The contractor must provide a cost comparison upon request by the state. Gasoline and routine automobile repair expenses are not reimbursable.

5. The contractor is required to furnish details surrounding each period of travel. Travel detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc.

6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

Travel Reimbursement Guide

Length of travel period	**This condition exists…**	**Allowable Meal(s)**
Less than 24 hours	Travel begins at 6:00 a.m. or earlier and continues until 9:00 a.m. or later.	Breakfast
Less than 24 hours	• Travel period ends at least one hour after the regularly scheduled workday ends, or • Travel period begins prior to or at 5:00 p.m. and continues beyond 7:00 p.m.	Dinner
24 hours	Travel period is a full 24-hour period determined by the time that the travel period begins and ends.	Breakfast, lunch, and dinner
Last fractional part of more than 24 hours	Travel period is more than 24 hours and traveler returns at or after 8:00 a.m.	Breakfast
	Travel period is more than 24 hours and traveler returns at or after 2:00 p.m.	Lunch
	Travel period is more than 24 hours and traveler returns at or after 7:00 p.m.	Dinner

COPYRIGHT AND OWNERSHIP OF MATERIALS

The following is the required copyright and ownership of materials language in the TCS grant:

A. The State shall be the owner of all rights, title and interest in, not limited to the copyright to, any and all Works created, provided, or developed in part or in total under this grant, whether or not published or produced. For purposes of this paragraph, "Works" are all literary Works, writings and printed matter, including the medium by which it is recorded or reproduced, and photographs, art work, pictorial and graphic representations, motion pictures, other audiovisual products, digital recordings, tape recordings, educational materials, original computer software programs, data, and any other materials or products conceived, developed, or delivered as a result of this grant. The copyright to any and all Works created, provided, or developed under this grant, whether published or not published or produced, belongs to the State from the moment of creation.

B. The State retains all rights to use, reproduce, distribute, or display any Works created, provided, or produced under this grant and any derivative works based on grant Works, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common law copyright law.

C. Grantee shall grant to the State, as permitted in California Civil Code, Section 982, ownership in any original work of authorship created, provided, or produced under this grant that is not fixed in any tangible medium of expression.

D. If for any reason, the State is not deemed to be the owner of all rights, title and interest in the Works created, provided, developed, or produced under this grant, then Grantee, by entering into this grant, assigns all such rights to the State.

E. For any product, data or material which is created, provided, developed, or produced under this grant which is not deemed a Work, the Grantee shall grant the State a royalty-free, non-exclusive, and irrevocable license throughout the world to reproduce, to produce derivative Works, to distribute copies, to perform, to display or otherwise use, duplicate, or dispose of such product, data or material in any manner for governmental purposes, and to have or permit others to do so.

F. Subject to the terms, conditions, and limitations contained in this grant and subject to the performance of all terms and conditions stated in this grant, the State grants to the Grantee a non-exclusive license to use, duplicate, distribute, and permit others to use Works created, produced or developed under this grant for the purpose of carrying out the terms and conditions of this grant, consistent with any limitations set forth in this grant.

G. For Works requiring the use of other copyright holders' materials, the Grantee shall furnish the names and addresses of all copyright holders or their agents, if any, and the terms of any licenses or usage granted, at the time of delivery of the Works. No materials of other copyright holders shall be used without prior written permission of the State and the holder of the copyright.

H. At any time the Grantee enters into an agreement with another party in order to perform the work required under this grant, the Grantee shall require the agreement to include language granting the State a copyright interest in any Works created, provided, developed, or produced under the agreement and ownership of any Works not fixed in any tangible medium of expression. In addition, the Grantee shall require the other party to assign those rights to the State in a format prescribed by the State. For any Works for which the copyright is not granted to the State, the State shall retain a royalty-free, non-exclusive and irrevocable license throughout the world to reproduce, to prepare derivative Works, to distribute copies, to perform, to display, or otherwise use, duplicate or dispose of such Works in any manner for government purposes, and to have or permit others to do so.

I. The Grantee represents and warrants that:

1) the Grantee is free to enter into and fully perform this agreement;

2) the Grantee has secured or will secure all rights and licenses necessary for the creation, production, or development of the Works under this grant;

3) neither the Works created, produced, or developed under this grant, the materials contained therein, nor the exercise by either the Grantee or the State of the rights described or granted in this grant, shall infringe upon or violate the rights or interests of any person or entity;

4) neither the Works, nor any part of the Works, created, produced, or developed under this grant shall: a) violate the right of privacy of, or b) constitute a liable or slander against, or c) infringe upon the copyright, literary, dramatic, statutory or common law rights, trademarks or service marks of any person, firm, or corporation; and

5) the Grantee has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to the State in this grant.

J. All Works distributed under the terms of this grant and any reproductions of visual Works or text of such Works shall include a notice of copyright in a place that can be visually perceived either directly or with the aid of a machine or device. This notice shall be placed prominently on Works and set apart from other matter on the page or medium where it appears.

K. The Grantee shall indemnify, defend and hold harmless the State and its licensees and assignees, and their officers, directors, employees, agents, representatives, successors, licensees and assignees from and against all claims, actions, damages, losses, costs and expenses, including reasonable attorneys' fees, which any of them may sustain because of the use, reproduction, distribution, display or transfer of the Works and any other materials furnished by Grantee under this grant, or because of the breach of any of the representations or warranties made in this grant award.

L. If the use of any Work is enjoined as a result of any action or proceeding, the Grantee shall, at its own expense and at the option of the State:

1) procure for the State the right to continue to use said element, if the cost of said element does not exceed the reasonable cost anticipated under paragraph 16.L.2) or 16.L.3) below; or

2) replace said element with a comparable element which is non-infringing or does not violate the rights or interest of any person or entity; or

3) modify said element so it becomes non-infringing or does not violate the rights or interest of any person or entity.

M. The State owns all materials developed, provided, and produced for the State under this grant. During the contracting phase of this process, the State shall negotiate with the Grantee to determine the number of camera-ready and completed versions of each deliverable the State will receive. It is anticipated that the State will use deliverables in future tobacco control programs.

Name of Grantee: ABC Research Agency
Grant Number: 01-xxxxx
Term: 07/01/02 - 06/30/04 Revision Date: April 12, 2001

	Pay Period	# of Pay Periods Per Year	Salary Range	% of time or Hours per PP	07/01/2002 06/30/2003	07/01/2003 06/30/2004	Total Budget
A. PERSONNEL COSTS							
1. Project Director	S	24	$4,220-$5,274	100	$0	$0	$0
2. Project Coordinator	S	24	$3,840-$4,801	100	$0	$0	$0
3. Health Educator	S	24	$3,193-$3,980	100	$0	$0	$0
4. Project Assistant	S	24	$3,130-$3,805	100	$0	$0	$0
5. Secretary	H	24	$2,525-$3,072	20-40 hrs/pp	$0	$0	$0
				Total Personnel Costs:	**$0**	**$0**	**$0**
B. FRINGE BENEFITS @ XX%-XX% of Total Personnel Costs					**$0**	**$0**	**$0**
				TOTAL PERSONNEL EXPENSES:	**$0**	**$0**	**$0**
C. OPERATING EXPENSES					**$0**	**$0**	**$0**
D. EQUIPMENT EXPENSES					**$0**	**$0**	**$0**
E. TRAVEL/PER DIEM and TRAINING					**$0**	**$0**	**$0**
F. SUBCONTRACTS AND CONSULTANTS							
1. Evaluation Consultant					$0	$0	$0
2. CATI Survey Co..					$0	$0	$0
3. ABC Company					$0	$0	$0
				TOTAL SUBCONTRACTS AND CONSULTANTS:	**$0**	**$0**	**$0**
G. OTHER COSTS							
1. Educational Materials					$0	$0	$0
2. Promotional Items and Incentives					$0	$0	$0
3. Additional Expenses					$0	$0	$0
				TOTAL OTHER COSTS:	**$0**	**$0**	**$0**
H. INDIRECT EXPENSES @ XX%-XX% of Total Personnel Expenses					**$0**	**$0**	**$0**
TOTAL EXPENSES					**$0**	**$0**	**$0**

BUDGET JUSTIFICATION SAMPLE

ABC RESEARCH AGENCY
BUDGET JUSTIFICATION
JULY 1, 2002-JUNE 30, 2004

	AMOUNT REQUESTED		
	FY 02/03	**FY 03/04**	**Total for Grant Term**
A. PERSONNEL SALARIES			
1. Project Director ($1,400-$1,600 paid semi-monthly) x (100%) x (24 pay periods/per year)	$ 36,000	$ 38,400	$ 108,000
Project Director for tobacco control program. Responsibilities include overall planning, supervision, development, training, report writing, fiscal & general coordination of the project. Monitors the project budget, maintains liaison with CDHS/TCS Health Education Consultant/Health Program Advisor and Contract Manager. Approves budget, invoices, staff changes, ensures timely progress on contract obligations, and other duties as required. Devotes 10% of his/her time to oversee the implementation of the evaluation and work with the evaluation consultant.			
2. Health Educator ($1,250- $1,450 paid semi-monthly) x (80-100%) x (20 pay periods/per year)	$ 24,300	$ 29,000	$ 73,300
Under supervision of the Project Director, responsible for coordinating the tobacco program's media activities, promotional events, trainings, newsletter, and other duties as required. Devotes 5% of his/her time to implement evaluation activities.			

APPENDIX F

COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS

State Classification Title	Comparable Title	Comparable Monthly Salary
Health Education Consultant Specialist III	Project Director	$4,389-$5,485
Health Education Consultant II	Senior Health Educator or Assistant Project Director	$3,994-$4,993
Health Education Consultant I	Health Educator or Health Education Assistant	$3,321-$4,139
Administrative Assistant I	Program Coordinator/Assistant	$3,255-$4,140
Office Services Supervisor II	Office Manager	$2,628-$3,195
Management Services Technician	Community Health Worker	$2,220-$2,700
Research Scientist II	Evaluation Consultant	$4,724-$5,699
Research Scientist I	Evaluation Consultant	$4,301-$5,189
Associate Governmental Program Analyst	Research Analyst II	$3,915-$4,759
Staff Services Analyst	Research Analyst I	$2,714-$3,300